

03/07/02

JD961 U.S. PTO

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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

P-63-CIP/TEP0140-02

First Inventor

Gordon C. Dowen et al.

Title

BRAKE FOR TRANSAXLE AND METHOD OF ASSEMBLY

Express Mail Label No.

EL 717630486 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **13**]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **6**]
5. Oath or Declaration [Total Pages **3**]
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☒ Other: Check No. **103153**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: **09/409,946**

Prior application information: Examiner **C. Buchanan**Group / Art Unit: **3619**

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☒ Customer Number or Bar Code Label

000832

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name	John F. Hoffman			
	BAKER & DANIELS			
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	Suite 800			
City	Fort Wayne	State	IN	Zip Code
				46802
Country	US	Telephone	260-424-8000	Fax
				260-460-1700

Name (Print/Type)

Brian C. Pauls

Registration No. (Attorney/Agent)

40,122

Signature

Date

March 7, 2002

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

\$740.00

Complete if Known

Application Number

Filing Date

First Named Inventor

Gordon C. Dowen et al.

Examiner Name

Group Art Unit

Attorney Docket No.

P-63-CIP/TEP0140-02

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit
Account
Number

02-0385

Deposit
Account
Name

BAKER & DANIELS

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee
Code (\$)

Fee Fee
Code (\$)

Fee Description

Fee Paid

101 740

201 370

Utility filing fee

740.00

106 330

206 165

Design filing fee

107 510

207 255

Plant filing fee

108 740

208 370

Reissue filing fee

114 160

214 80

Provisional filing fee

SUBTOTAL (1)

\$740.00

2. EXTRA CLAIM FEES FOR UTILITY AND

Extra Claims Fee from below Fee Paid
Total Claims 19 -20** = 0 X = 0.00
Independent Claims 3 - 3** = 0 X = 0.00
Multiple Dependent =

Large Entity Small Entity

Fee Fee
Code (\$)

Fee Fee
Code (\$)

Fee Description

103 18

203 9

Claims in excess of 20

102 84

202 42

Independent claims in excess of 3

104 280

204 140

Multiple dependent claim, if not paid

109 84

209 42

** Reissue independent claims over original patent

110 18

210 9

** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

\$0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity

Small Entity

Fee Fee
Code (\$)

Fee Fee
Code (\$)

Fee Description

Fee Paid

105 130

205 65

Surcharge - late filing fee or oath

127 50

227 25

Surcharge - late provisional filing fee or cover sheet

139 130

139 130

Non - English specification

147 2,520

147 2,520

For filing a request for ex parte reexamination

112 920*

112 920*

Requesting publication of SIR prior to Examiner action

113 1,840*

113 1,840*

Requesting publication of SIR after Examiner action

115 110

215 55

Extension for reply within first month

116 400

216 200

Extension for reply within second month

117 920

217 460

Extension for reply within third month

118 1,440

218 720

Extension for reply within fourth month

128 1,960

228 980

Extension for reply within fifth month

119 320

219 160

Notice of Appeal

120 320

220 160

Filing a brief in support of an appeal

121 280

221 140

Request for oral hearing

138 1,510

138 1,510

Petition to institute a public use proceeding

140 110

240 55

Petition to revive - unavoidable

141 1,280

241 640

Petition to revive - unintentional

142 1,280

242 640

Utility issue fee (or reissue)

143 460

243 230

Design issue fee

144 620

244 310

Plant issue fee

122 130

122 130

Petitions to the Commissioner

123 50

123 50

Processing fee under 37 CFR § 1.17(q)

126 180

126 180

Submission of Information Disclosure Statement

581 40

581 40

Recording each patent assignment per property (times number of properties)

146 740

246 370

Filing a submission after final rejection (37 CFR § 1.129(a))

149 740

249 370

For each additional invention to be examined (37 CFR § 1.129(b))

179 740

279 370

Request for Continued Examination (RCE)

169 900

169 900

Request for expedited examination of a design application

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

SUBMITTED BY

Name (Print/Type)

Brian C. Pauls

Registration No.
(Attorney/Agent)

40,122

Complete (if applicable)

Telephone

260-424-8000

Signature

Date

March 7, 2002

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CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **Gordon C. Downen et al.**

Docket No.

P-63-CIP/TEP0140-02

Serial No.

Filing Date

Examiner

Group Art Unit

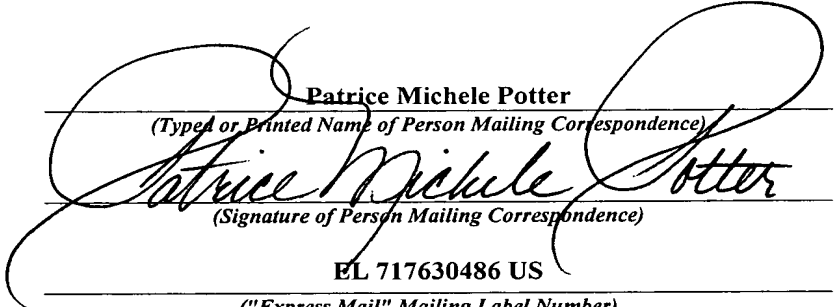
Invention: **BRAKE FOR TRANSAXLE AND METHOD OF ASSEMBLY**

I hereby certify that the following correspondence:

New U.S. Continuation-in-Part Patent Application

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

March 7, 2002*(Date)*Patrice Michele Potter*(Typed or Printed Name of Person Mailing Correspondence)*
*(Signature of Person Mailing Correspondence)*EL 717630486 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**